
**TO ALL COMMISSION MEMBERS, COOPERATING NON-MEMBERS AND
PARTICIPATING TERRITORIES**

Circular No.: 2016/54

Date: 5 October 2016

No. pages: 12

**Announcing availability online of provisional CMR and online interface for CCMs
to provide additional information up to 30 days before WCPFC13**

Dear all,

To advise that the WCPFC Secretariat has updated the WCPFC CMR online system to include the TCC12 agreed provisional Compliance Monitoring Report (provisional CMR) assessments. Over the next two weeks the Secretariat will work to complete its reviews of CCM additional information that were submitted prior to or during TCC12 and will advise the relevant CCMs.

Attached is a guide for how CCMs can access the provisional CMR through the online facility, and provide a reply or additional information to the Secretariat in accordance with paragraph 33 of CMM 2015-07. There is also an option for CCMs to clearly indicate where they intend to request a revised compliance assessment at WCPFC13.

Although there is no formal “submission” button for CCMs to confirm they have completed providing additional information, we ask that CCMs kindly advise the Secretariat when their feedback and comments can be taken as completed. In any case, and noting the deadline in CMM 2015-07 of 30 days prior to WCPFC13, close of business in Pohnpei on **Friday 4 November 2016** will be used as a cut-off date for any CCMs additional information. Email notifications of early completion of additional information would be appreciated.

The usual country-specific CCM login that was used to complete the online Annual Report Part 2 should be used to access all secure WCPFC CMR-related online information on the intranet or website.

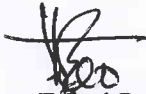
A copy of the TCC12 provisional CMR report and MS Excel export of the online provisional CMR can also be accessed from the secure section of the WCPFC website <https://www.wcpfc.int/cmr-2016>

Flag CCMs are encouraged to continue to use the online Compliance Case file system to submit reports on investigation up until the conclusion of the investigation and where applicable, any relevant Investigation Status Reports can also be attached (CMM 2015-07

para 8-11). At TCC12 flag CCMs were also requested to duly include any updated information on the status of their investigations into the online Compliance Case file system. CCMs are asked to refer to the attached guide, Circular 2016/14 and Circular 2016/42 for guidance on how to access and provide updates. To assist with WCPFC13's review of the progress of flag State investigations, the Secretariat intends to include into the provisional CMR report updated summary notes on the status of cases contained in the online Compliance Case file system as at the 4 November deadline.

If CCMs have any problems or questions please contact the Compliance Manager at lara.manarangi-trott@wcpfc.int and the Assistant Compliance Manager at ana.taholo@wcpfc.int.

Yours sincerely,



Feleti Penitala Teo, OBE
EXECUTIVE DIRECTOR

Online CMR and Provisional CMR Issues (2015) – QUICK GUIDE

V1.0 (updated October 2016)

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AS STATED IN CMM 2015-07 PARAGRAPH 33, THIS LIST WILL BE LEFT AVAILABLE FOR RELEVANT CCMs TO SUBMIT INFORMATION UNTIL CLOSE OF BUSINESS ON **FRIDAY 4 NOVEMBER 2016 – 30 DAYS PRIOR TO WCPFC13**

IF CCMs DO COMPLETE THEIR ADDITIONAL INFORMATION SUBMISSIONS EARLIER THAN 4 NOVEMBER, THE SECRETARIAT WOULD APPRECIATE BEING ADVISED BY EMAIL THAT WE CAN TAKE THE INFORMATION AS COMPLETE. THIS WAY THE ADDITIONAL INFORMATION CAN BE INCORPORATED INTO THE PROVISIONAL COMPLIANCE MONITORING REPORT IN A TIMELY MANNER FOR WCPFC13

Section 1 Connecting Online

- Connection to the WCPFC Intranet is required and following these steps will do that:
 - Connect PC computer to the internet
 - Open your favorite browser such as Internet Explorer, Chrome, Safari or Firefox.
 - Enter <https://intra.wcpfc.int>
 - You will be asked to log on to the WCPFC “Application and Network Access Portal”. Please use your cmr login information (username and password to login), as shown below. Remember that **wcpfc** is required for the Username:

The screenshot shows the 'Application and Network Access Portal' login interface. It includes a 'Log On' section with fields for 'User name:' (containing 'wcpfc\cmr'), 'Password:' (masked with dots), 'Authenticate using:' (a dropdown menu showing 'pnidc1.wcpfc.local'), and 'Language:' (a dropdown menu showing 'English (en-US)'). A 'Log On' button is positioned below these fields. At the bottom, there is a disclaimer: 'This site is intended for authorized users only. If you experience access problems contact the [site administrator](#).' and a copyright notice: '© 2010 Microsoft Corporation. All rights reserved. [Terms and Conditions](#).'

- Successful login takes you to the **WCPFC Intranet Home Page**. On the right-hand side of the screen you will find the heading **Compliance Monitoring Scheme** (see red circles). There are now eight (8) lists/parts that make up this year’s Annual Report Part 2 and Compliance Monitoring Report:
 - Addressing CMR-2014 Issues
 - Annual Reports Part 2 (2015)
 - MTU Audit Inspections
 - 01-July-2016 Reporting Deadline Checklist
 - Compliance Monitoring Reports (2015)
 - CMR Potential Issues (2015)
 - Provisional CMR Issues (2015)
 - Managing Compliance Cases: Article 25(2); FAD Set Alleged infringements; Observer obstruction alleged infringements; and Shark catch alleged infringements

The screenshot displays the WCPFC Intranet Home Page. The header includes the WCPFC logo and navigation links: 'CORPORATE DATA', 'REFERENCE LISTS', 'CMS CURRENT', 'CMS ARCHIVE', 'DOCUMENT LIBRARIES', and 'Recent'. The main content area is titled 'Home' and 'Secure site for WCPFC staff and authorised users'. It features a 'Corporate Applications' section with a grid of icons and labels: 'Tasks (Compliance Group)', 'Record of Fishing Vessels', 'Observer Trips', 'TropicBird Business Intelligence', 'Transshipment', 'Catch Discards', 'Zone Entry/Exit', and 'Compliance Events'. On the right side, there are three red-bordered boxes containing lists of links. The first box, titled 'Compliance Monitoring Scheme:', lists: 'Addressing CMR-2014 Issues', 'Annual Reports Part 2 (2015)', 'MTU Audit Inspections', '01-July-2016 Reporting Deadline Checklist', 'Compliance Monitoring Reports (2015)', and 'CMR Potential Issues (2015)'. The second box, titled 'Managing RFV On-line:', lists: 'Modify or Delete RFV Vessels' and 'Submission of new or re-flagged Vessels for RFV'. The third box, titled 'Managing Compliance Cases:', lists: 'Article 25-2 Compliance Cases', 'FAD Sets Alleged Infringements', 'Observer Obstruction Alleged Infringements', and 'Shark Catch Alleged Infringements'. At the bottom left, there are 'External Links:' including 'WCPFC Public Web Site' and 'WCPFC Compliance Monitoring Reports'.

Section 2 Viewing provisional Compliance Monitoring Report (prov CMR)

Each CCMs can now view all CCMs and collective obligations provisional Compliance Monitoring Reports, which have been updated to include TCC Explanation and TCC Assessment. Use the following procedure to view the report:

- From the **WCPFC Intranet Home Page**, click on **Compliance Monitoring Report (2015)** link, it will take you to the page which displays the report. The first view that you will see is the 'Group by Section' view which displays the report grouped into seven sections that comprise the CMR:

Compliance Monitoring Report - 2015

[+ new item](#)

Group By Section Print View Requested Status Change ... Find an item

✓ Edit CCM CMR Section CMM Paragraph CMM CCM Assessment Applicability Checked CCM Implementation Potential Issue Secretariat Explanation Summary of Issue CCM Additional Information Capacity Building Requested Capacity Development Plan Investigation Status Report

▶ CMR Section : (i) Catch and effort limits for target species (666)

▶ CMR Section : (ii) Catch and effort reporting for target species (629)

▶ CMR Section : (iii) Reporting including with respect to implementation of measures for non-target species (333)

▶ CMR Section : (iv) Spatial and temporal closures and restrictions on the use of FADs (111)

▶ CMR Section : (v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme (999)

▶ CMR Section : (vi) Provision of Scientific Data (148)

▶ CMR Section : (vii) Submission of AR Part 2 and compliance with other reporting deadlines (1554)

▶ CMR Section : Collective obligations as per para 4 of CMM 2014-01 (2)

- You can expand each section further to get to individual CMM's (obligations):

Compliance Monitoring Report - 2015

[+ new item](#)

Group By Section Print View Requested Status Change ... Find an item

✓ Edit CCM CMR Section CMM Paragraph CMM CCM Assessment Applicability Checked CCM Implementation Potential Issue Secretariat Explanation Summary of Issue CCM Additional Information Capacity Building Requested Capacity Development Plan Investigation Status Report

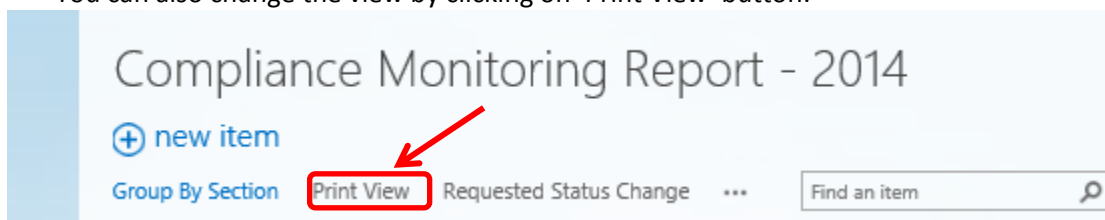
▶ CMR Section : (i) Catch and effort limits for target species (666)

▶ CMM : CMM 2005-03 (37)

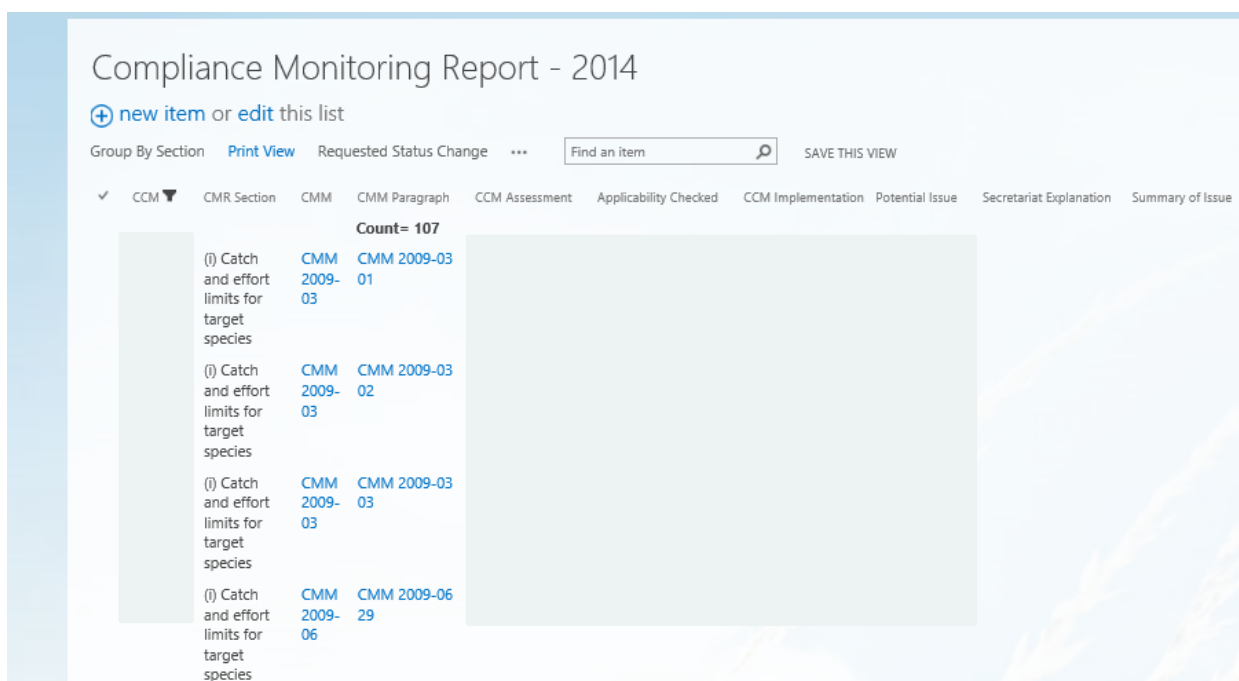
✓	3	(i) Catch and effort limits for target species	CMM 2005-03 02	CMM 2005-03	N/A	NOT APPLICABLE	No issues detected	No
✓	1	(i) Catch and effort limits for target species	CMM 2005-03 02	CMM 2005-03	YES	APPLICABLE	No issues detected	No

Quick Guide for CMR and Potential Issues (2015) online facility

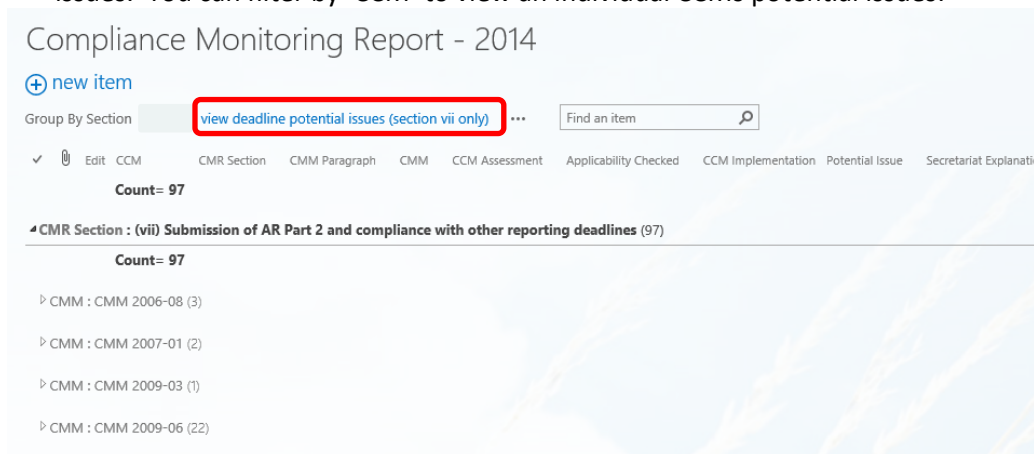
- You can also change the view by clicking on 'Print View' button:



- In 'Print View' all CMR sections are already expanded and you can view and scroll through records that represent individual CMM's (obligations)

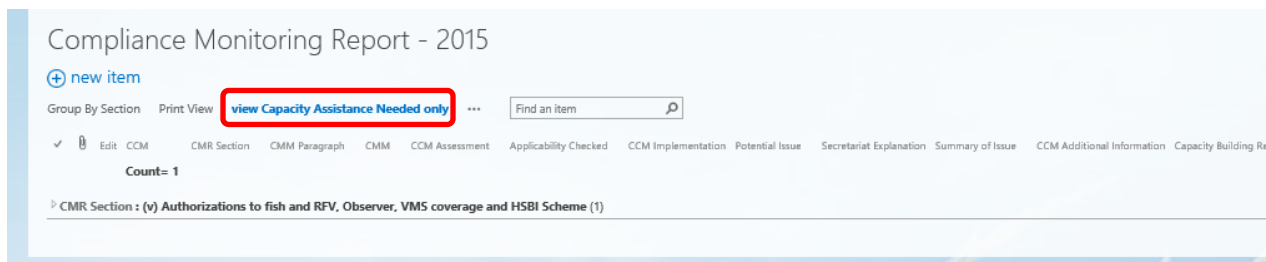


- You can also change the view by clicking on 'view deadline potential issues (section vii only)' button. This lists shows all CCMs whose provisional Compliance Monitoring Report has one or more 'non-compliant' or 'priority non-compliant' identified in CMR section vii) ie deadline issues. You can filter by 'CCM' to view an individual CCMs potential issues:



Quick Guide for CMR and Potential Issues (2015) online facility

- You can also change the view by clicking on 'view Capacity Assistance Needed only' button. This lists shows the obligations where a CCMs provisional Compliance Monitoring Report has "Capacity Assistance Needed" status assigned as a provisional compliance assessment score. You can filter by 'CCM' to view an individual CCMs potential issues:



Section 3 Viewing 'Provisional CMR Issues' and providing Additional Information

Applicability: Each CCM whose provisional Compliance Monitoring Report has one or more 'non-compliant', 'priority non-compliant' or 'Flag State Investigation' identified can view these potential issues and provide additional information using the online interface.

Note potential issues for Section vii) related to timeliness of reporting and 'Capacity Assistance Needed' will not be shown in this years 'Provisional CMR Issues' list (these can be viewed using the steps in Section 2 above, and any concerns or queries can be sent to the Secretariat).

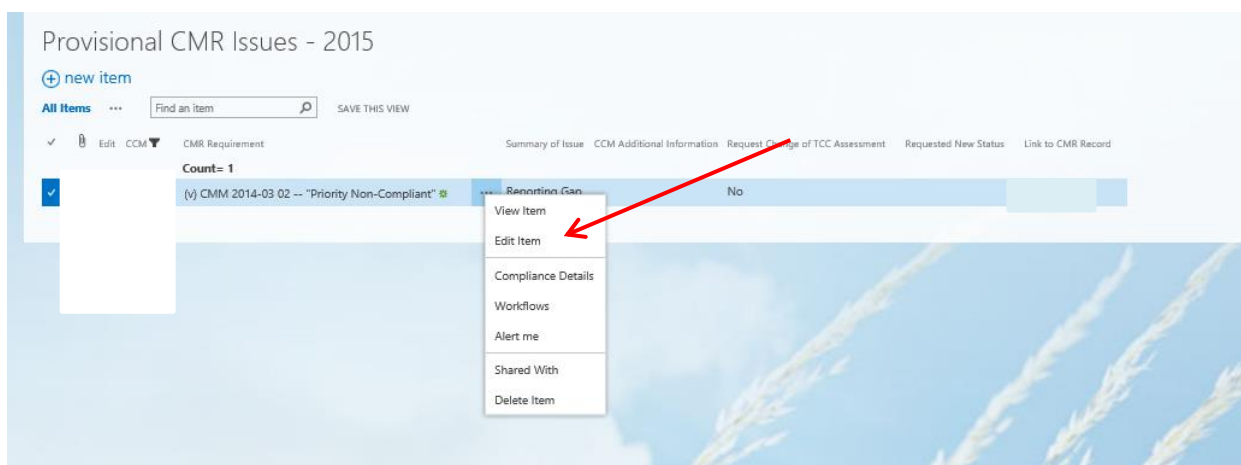
- From the **WCPFC Intranet Home Page**, click on **Provisional CMR Issues (2015)** link, it will take you to the page showing the list of potential issues. You will be able to see and to provide additional information only for your own provisional issues (in other words, you have no access to other CCM's provisional CMR issues):



In order to provide Additional Information for a particular obligation in response to the TCC12 assessment, follow the procedure below.

- Click on the three dots (...) next to the CMR Requirement column for the CCM you wish to provide additional information; then click on **Edit Item**, as shown below

Quick Guide for CMR and Potential Issues (2015) online facility



- A pop-up form will open, as shown below:

CMR Requirement * (v) CMM 2014-03 02 -- "Priority Non-Compliant"

Summary of Issue *

CCM Additional Information

Reporting Gap

Use this field to provide explanation/additional information as required.

Request Change of TCC Assessment ☐

Tick this box if you are requesting change of TCC assessment

Requested New Status

If you ticked the previous box then select what the new status should be

- On the above form, there is a field named 'CCM Additional Information'. Use this field to provide any information as applicable relevant to this particular obligation ('CMR Requirement'). Pdf and word files can also be attached.
- If you intend the additional information to result in a revised assessment at WCPFC13, tick the box that says "Request Change of TCC Assessment", then choose the appropriate choice in "Requested New Status"
- Once you have entered additional information, click on **Save** button to save the record. You will see that the information you provided is now inserted as appropriate:

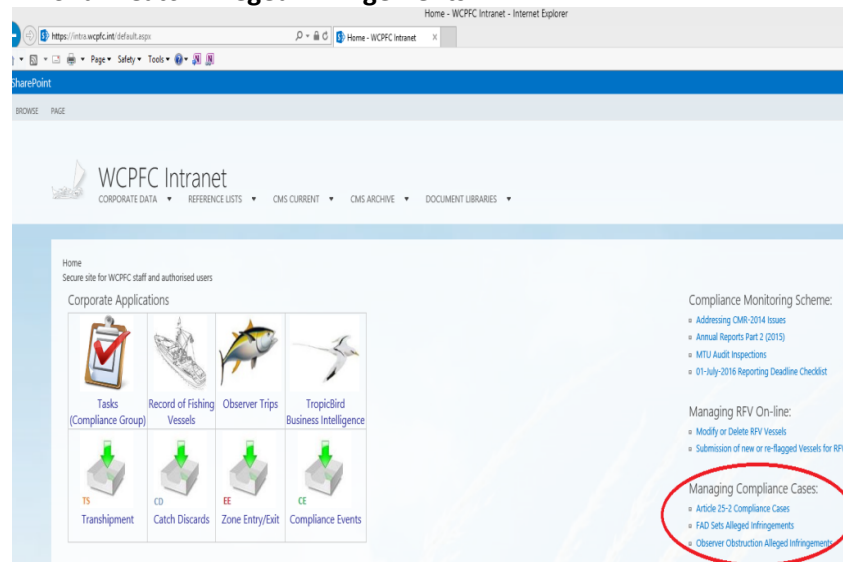


- If needed, you can change and/or amend information already entered simply by following the above procedure (i.e. click on three dots first, then click 'Edit', etc.)

Section 4 Managing Compliance Cases Online

On the right side of the screen, below the WCPFC logo, you will find the heading **Managing Compliance Cases** (see **red** circle). There are currently (4) lists under this heading:

- **Article 25-2 Compliance Cases**
- **FAD Sets Alleged Infringements**
- **Observer Obstruction Alleged Infringements**
- **Shark Catch Alleged Infringements**



Explanatory notes for the 4 lists

- **Article 25-2 Compliance Cases**
Contain any alleged infringements (from sources that are not ROP observer data such as HSBI, aerial surveillance or Port Inspection activities) in which a flag State investigation has been requested, in accordance with Article 25(2) of the Convention.
- **FAD Sets Alleged infringements**
Contain alleged infringements, related to setting on FADs during the FAD closure period, identified in ROP observer data.
- **Observer Obstruction Alleged Infringements**
Contain alleged infringements, related to observer obstruction, identified in ROP observer data.
- **Shark Catch Alleged Infringements**
Contain alleged infringements, related to shark finning or prohibition to retain silky shark or oceanic white-tip sharks identified in ROP observer data.

Note: The first release of information in April 2016 (advised in Circular No.: 2016/14) related to FAD Sets Alleged Increments and Observer Obstruction Alleged Infringements. During July 2016, the Secretariat updated the system with the latest data from SPC-OFP and included Article 25(2) matters and a new list related to shark catch alleged infringements. During TCC12 the Secretariat advised that

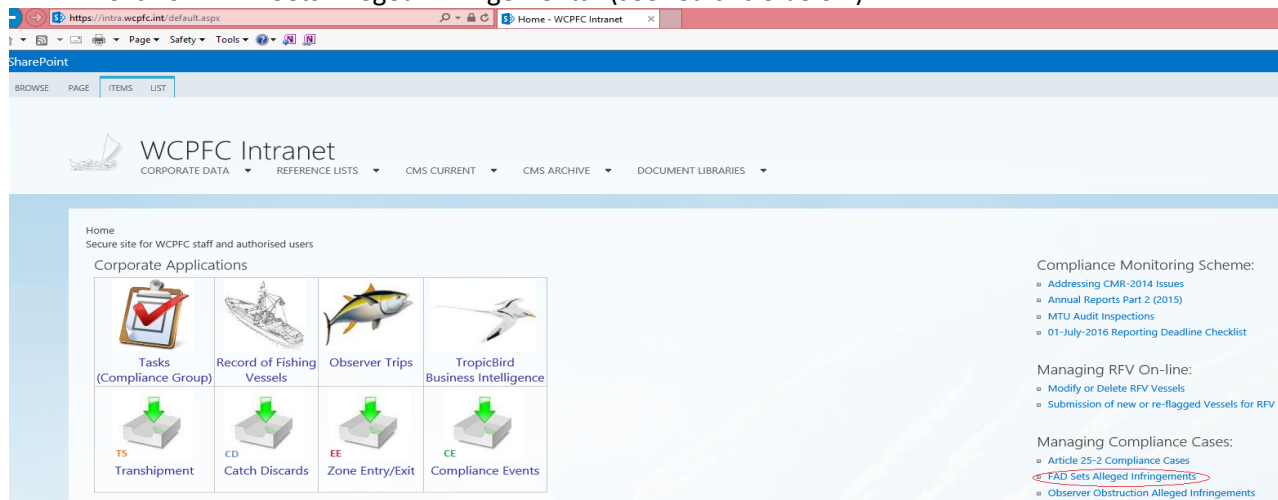
in addition to relevant flag CCMs, the applicable notifying CCMs and applicable coastal CCMs were also able to view relevant compliance case files.

Guidance for completing any of the four lists using FAD Sets Alleged Infringements list as an example

The process on how to provide response/s to the alleged infringements is similar for all three lists. As such, the explanation hereunder relating to the “FAD Sets Alleged Infringements” is relevant to any of the alleged infringements that are under the “Article 25-2 Compliance Cases”, “Observer Obstruction Alleged Infringements” and “Shark Catch Alleged Infringements”.

FAD Sets Alleged Infringements

- Click on “FAD Sets Alleged Infringements” (see red circle below).



- This will take you to the FAD Sets Alleged Infringements window below. If there is any alleged FAD sets infringement related to your flag vessels reported by observers, these will be listed in the window shown below. Otherwise, there will be blank/nothing for CCMs who did not have any alleged FAD sets infringement related to their flag vessel



Quick Guide for CMR and Potential Issues (2015) online facility

To provide responses to any of the alleged infringements, click on the icon shown in red circle in the window above. A window such as below will come up. Flag CCMs can provide comments in the text box title “CCM Comments” and attach any attachments (circle in green) related to that particular infringement.

- You can click on any of the fields with hyperlinks (circle in red) for more details. Clicking on the field:
 - Infringement ID – will give you same screen as above
 - Vessel Trip – will give you a window with the vessel name, flag CCM, trip start and end date, observer provider and trip number
 - Alleged infringement (eg. 2014-01 14) – will give you window with the language of that particular obligation/CMM paragraph
- Flag CCMs, as well as other relevant CCMs can enter multiple responses/progress reports, online, related to any of the alleged infringement as it conducts investigation. The system will track the responses provided by all relevant CCMs during the life of the alleged infringement. To provide another response/update to a particular alleged infringement, simply repeat the steps above.
- CCMs are encouraged to use the compliance case system to submit reports on investigation up until the conclusion of the investigation and where applicable, any relevant **Investigation Status Reports can also be attached (CMM 2015-07 para 8-11).**

Quick Guide for CMR and Potential Issues (2015) online facility

- CCMs that cannot complete an investigation prior to WCPFC13 should include a note to that effect in the “Provisional CMR issues” list for the relevant obligation (‘CMR Requirement’). Any additional supporting documentation can be attached, as needed.
- Those CCMs intending to be assessed as “Flag State Investigation” for a particular obligation (‘CMR Requirement’) by WCPFC13 are encouraged to closely review paragraph 8 of CMM 2015-07. For ease of reference the paragraph is reproduced here:

8. Where a CCM cannot complete an investigation prior to TCC, that CCM shall provide a Status Report to the Secretariat with the dCMR, that:

- (i) describes the steps that have been taken to commence the investigation;*
- (ii) describes the process that CCM will take to complete the investigation, within their relevant national processes and laws;*
- (iii) describes, to the extent possible, actions proposed to be taken in relation to the alleged violation;*
- (iv) sets out an anticipated timeframe in the Status Report*

- To assist with WCPFC13’s review of the progress of flag State investigations, the Secretariat intends to include into the provisional CMR report updated summary notes on the status of cases contained in the online Compliance Case file system as at the 4 November deadline.
